



EMPLOYEE SUGGESTION PROGRAM

PROCEDURES

MANUAL

**Department of Human Resource Management
101 N. 14th Street
Richmond, Virginia 23219**

EMPLOYEE SUGGESTION PROGRAM**PROCEDURES MANUAL****Table of Contents**

	PAGE
I. INTRODUCTION	2
II. DEFINITIONS	2
III. ESP ORGANIZATION AND RESPONSIBILITIES	3
A. Department of Human Resource Management	3
B. Agency Heads.....	4
C. Agency ESP Coordinators	4
D. Agency Evaluators and Management Reviewers.....	4
E. Agency Supervisors	5
IV. SUGGESTED STEPS IN HANDLING A SUGGESTION	5
V. ELIGIBILITY DETERMINATION	6
A. Suggestions Eligible for Award Consideration	6
B. Employees Eligible for Award.....	8
VI. EVALUATOR QUALIFICATIONS/RESPONSIBILITIES.....	9
VII. DETERMINING AND HANDLING AWARDS	9
A. Cash Awards.....	9
B. Non-Cash Awards	11
VIII. APPEAL/REVIEW PROCEDURE	13
IX. RECORD KEEPING	13
X. ADDITIONAL POLICIES.....	13
A. Employee Protection.....	13
B. State Protection.....	14
APPENDICES	
Appendix I - Employee Suggestion Form	
Appendix II - Suggestion Evaluation Form	

I. INTRODUCTION

The overall goal of the Commonwealth's Employee Suggestion Program (ESP) is to encourage, recognize, and reward state employees for their innovative and creative ideas and problem solving. The program's policy is set by the Department of Human Resource Management (DHRM) as mandated by Va. Code § 2.2-1201, which directs DHRM to:

Adopt and implement a centralized program to provide awards to employees who propose procedures or ideas that are adopted and that will result in eliminating or reducing state expenditures or improving operations, provided such proposals are placed in effect. The centralized program shall be designed to (i) protect the identity of the individual making the proposal while it is being evaluated for implementation by a state agency, (ii) publicize the acceptance of proposals and financial awards to state employees, and (iii) include a reevaluation process that individuals making proposals may access if their proposals are rejected by the evaluating agency. The reevaluation process must include individuals from the private sector.

The Employee Suggestion Program encourages employees to exercise creative judgment and initiative beyond that required by their normal job duties, and to submit ideas as suggestions. Suggestions that identify specific problems and propose valid solutions enhance the efficiency and effectiveness of Virginia's government through increased productivity, reduced costs, improved and safer working conditions, conservation of resources, and improved public services. Additionally, the suggestion process establishes a climate within state agencies that encourages open communication of ideas and maximizes employee talents.

All Executive Branch agencies are required to participate in the Employee Suggestion Program as prescribed in DHRM Policy No. 1.21, Employee Suggestion Program, and state agencies outside the Executive Branch may elect to do so. This Procedures Manual provides guidelines which outline the roles of those involved in implementing the program.

II. DEFINITIONS

- A. Agency ESP Coordinator – an employee in each state agency designated by the agency head to promote and facilitate the suggestion program.

- B. Awards – cash payments, days of leave, and/or certificates of recognition given to employees by agencies for suggestions adopted because they have identifiable value to the agency and/or state government generally.
- C. DHRM ESP Manager – the employee within the Department of Human Resource Management responsible for overseeing and monitoring the Employee Suggestion Program.
- D. Evaluation – the analysis of a suggestion that documents the feasibility and merit of its adoption, or reasons for non-adoption.
- E. Evaluator – the employee to whom suggestions are referred for evaluation because of his/her knowledge or expertise in the subject matter of the suggestion.
- F. Incurred Costs – costs incurred during the implementation of a suggestion. Any added costs must be netted out from any savings or increased revenues produced by the change.
- G. Management Reviewer – the manager of the evaluator's unit/ division who is qualified to review the evaluator's assessment of a suggestion and who signs off on the result before returning the documentation to the Agency ESP Coordinator.
- H. Net Revenue – the dollar amount generated by an adopted suggestion during its first year of implementation adjusted for any incurred costs.
- I. Net Savings – the dollar amount saved by an adopted suggestion during the first year of implementation adjusted for any incurred costs.
- J. Suggestion – a proposal made by an eligible state employee that may result in a reduction in state expenditures, an improvement in productivity or the quality of state services, an increase in state revenues, or improved or safer working conditions.

III. ESP ORGANIZATION AND RESPONSIBILITIES

The Employee Suggestion Program is operated as an interactive process among DHRM and other agencies and their employees.

- A. The Department of Human Resource Management has general oversight responsibility for the Employee Suggestion Program. This includes receiving, forwarding for evaluation, and tracking suggestions; notifying suggesters (and agencies, when suggestions are to be

implemented) of the result of the evaluation of the suggestions; maintaining an appeals process; promulgating, interpreting, and enforcing program policy; preparing reports; and establishing and maintaining a suggestion system database.

B. Agency heads in executive branch agencies and other agencies outside the executive branch that opt to participate have certain responsibilities that include:

1. appointing an ESP Coordinator to promote the program and coordinate requests for evaluation of a suggestion;
2. ensuring that managers support the ESP by encouraging employee participation;
3. encouraging thorough, fair, and timely evaluation of ideas forwarded for evaluation;
4. ensuring maintenance of records that capture any savings or increased revenues gained from implementation of the suggestion;
5. approving cash and leave awards recommended by his/her agency; and
6. presenting awards/certificates to agency employees.

C. Agency ESP Coordinators' responsibilities include:

1. receiving suggestions referred by DHRM and referring to appropriate managers/evaluators within their agencies;
2. monitoring evaluators' progress to ensure timely responses;
3. obtaining a completed Suggestion Evaluation Form and appropriate documentation with signatures for each suggestion; ensuring that evaluations are thorough and reasonable, and returning all Suggestion Evaluation Forms to DHRM;
4. assisting with or arranging suitable awards ceremonies for employees whose suggestions are adopted;
5. monitoring implementation of adopted suggestions and obtaining data on cost savings or additional revenues realized;
6. responding to questions about ESP from agency employees;
7. promoting employee participation in the ESP; and
8. assisting with suggesters' appeals if requested.

D. Agency evaluators and management reviewers are responsible for:

1. evaluating suggestions thoroughly, fairly, and in a timely manner;
2. determining suggestion eligibility for award;
3. providing sufficient documentation to support their recommendations to adopt or not to adopt suggestions;

4. returning information to their Agency ESP Coordinator within established time frames.
- E. Upon request by DHRM, agency supervisors/managers are responsible for reviewing suggestions recommended for award to verify that the ideas are not part of the employee's job description, and cannot be implemented by the employee independently.

IV. STEPS IN HANDLING A SUGGESTION

- A. Suggester completes the Employee Suggestion Form, and submits it to DHRM via web site, e-mail, or hard copy. (See link at www.dhrm.state.va.us or Appendix I for Employee Suggestion Form.)
- B. DHRM receives the Employee Suggestion Form, reviews for completeness, makes a preliminary assessment of the eligibility of suggestion and suggester, and forwards to the ESP Coordinator of an appropriate agency for review. If suggestion is not eligible according to eligibility determination criteria (part V. below), DHRM informs suggester that the suggestion will not be forwarded for full evaluation, noting reason(s) for ineligibility.
- C. Agency ESP Coordinator assigns category (see Appendix III for ESP Category Code Table), determines appropriate evaluator within that agency, and forwards the Employee Suggestion Form and the Suggestion Evaluation Form to that person, noting the due date for return of both documents to the Coordinator.
- D. During the evaluation process, evaluator sends form to fiscal officer for financial data when savings or revenue is expected from implementation of suggestion. Fiscal officer completes that section and returns form to evaluator.
- E. Evaluator completes his/her part of the evaluation and submits to his manager for review. Manager returns completed evaluation form to Agency ESP Coordinator. Coordinator checks for completeness and reasonableness of result and returns form to DHRM within established time frame.
- F. DHRM receives the completed evaluation, checks for completeness and reasonableness, and records results. DHRM communicates the results to the suggester, providing information on the appeal process if the suggestion was not recommended for adoption. If the suggestion is to be adopted, DHRM communicates with the suggester's agency and, if applicable, other agencies that will be implementing the suggestion.

If the suggestion will be implemented, DHRM arranges for certificates to be prepared and sent to the suggester's agency.

- G. If suggester appeals non-adoption, DHRM ESP Manager (ESP Manager) receives appeal, reviews for completeness, and forwards to review committee. Committee returns determination to ESP Manager, who records result and informs suggester. If suggestion is to be adopted, ESP Manager also informs Agency ESP Coordinator. The process resumes as for an adopted suggestion.
- H. Agency ESP Coordinator follows up as detailed below.
 - 1. Coordinator records data as needed and prepares reports on agency activity.
 - 2. For Adopted suggestions, Coordinator:
 - notifies agency head that a suggestion from an agency employee has been adopted;
 - forwards necessary information to DHRM for preparation of a certificate, if desired;
 - coordinates arrangements for appropriate agency award ceremony;
 - submits award information to agency and/or local publications as appropriate; and
 - monitors implementation and arranges for cash award payout or addition of paid leave to employee's record.
- I. After one year of implementation, Agency ESP Coordinator (or DHRM ESP Manager if multiple agencies are implementing) assesses results, calculates award, records data, and communicates appropriately. Savings or increased revenues are verified by agency or other fiscal officer. Suggester's agency requests IAT (interagency transfer of funds) from other agencies that are implementing the suggestion, as appropriate, so that agency can make award. Coordinator notifies DHRM of conclusion.

V. ELIGIBILITY DETERMINATION

A. Suggestions Eligible for Award Consideration

DHRM verifies the eligibility of the suggestion using the following criteria.

1. Suggestions are eligible for award consideration when their implementation causes agency activity that is directly related to the suggestion and that results in savings (including cost avoidance), increased revenue, improved productivity, better quality of service, or improved safety. Generally, to be eligible for award consideration, suggestions should meet the criteria discussed below.
 - a. Identify problems or areas that can be improved.
 - b. Propose a reasonable method of implementation, and document anticipated benefits in one or more of the following ways:
 - improved methods, accounting practices, house-keeping, quality of products, office procedures, protection of property, or employee morale;
 - reduced cost of materials or services, safety hazards, waste, or maintenance;
 - elimination of spoilage, duplication, breakage, wasted effort, or bottlenecks;
 - increased service delivery, production of materials, or amount of work produced generally;
 - increased state revenue;
 - combining of operations, methods, procedures, or official forms;
 - savings of time, material, equipment, or natural resources;
 - invention of new equipment, methods of operation, or products; or
 - reducing hazardous conditions or modifying procedures to enhance safety.
2. Suggestions that are ineligible for award consideration include those which:
 - a. would normally be expected in performance of the employee's job duties, responsibilities and assigned tasks, or which the employee can implement without higher level approval;
 - b. constitute a personal grievance or complaint;
 - c. concern a change in salary or position classification;
 - d. lack sufficient information to be evaluated properly, or do not include a solution or plan for improvement;

- e. involve routine requests for maintenance or supplies and services that should be processed through established channels;
- f. result from assigned or contracted audits, studies, surveys, reviews or research;
- g. concern proposals that can be documented as already under active consideration;
- h. propose following established policies or procedures which are not being followed, or of which the suggester may be unaware; or
- i. duplicate another suggestion which is still under consideration, or has been submitted and rejected in the past two years, or for which an award has been granted during the past two years.

B. Employees Eligible for Award

DHRM, with the employee's agency, verifies the eligibility of the suggester to receive an award using the criteria below.

1. Any full-time or part-time salaried state employee may submit ideas through ESP, and receive cash or days of leave awards when merited. (This includes all classified and non-classified employees of executive branch agencies, commissions, boards, councils, and the state-supported institutions of higher education including faculty members of participating institutions.)
2. Any hourly (wage) employee may submit ideas to ESP and receive cash awards when merited. Wage employees may not be awarded days of paid leave.
3. An employee is eligible to receive an award for a suggestion if the idea cannot be implemented on his/her authority as a part of normal job duties, responsibilities, or assigned tasks, but requires approval by a higher level of authority.
4. An employee whose primary duties are research, planning, investigation, management analysis, or evaluation is eligible to receive an award for a suggestion only if the suggestion is clearly unrelated to the employee's primary duties or responsibilities.
5. Employees may not participate in the evaluation of, or decision to adopt, their own suggestions.

VI. EVALUATOR QUALIFICATIONS AND RESPONSIBILITIES

- A. Evaluators should possess knowledge of suggestion subject matter and agency/state operations. They should be sufficiently qualified to consider the following: originality of idea; value of the suggestion; feasibility of its implementation; extent of its application; and (with fiscal officer input) estimation of costs and savings of implementation.
- B. The evaluator should analyze the suggestion and return the completed evaluation form to the Agency ESP Coordinator, normally within 45 days of receiving it. If more time is needed, the evaluator should notify the Agency ESP Coordinator and provide an estimated completion date.
- C. Evaluators may be asked to further explain their decisions or to review completed evaluations when suggesters appeal original decisions. (See Appeal/Review Procedures, Section VIII.)
- D. Because of the requirement to be knowledgeable in the suggestion area, evaluators may be asked to consider changes in their own operational areas. It is part of their responsibility to conduct the evaluation process with openness to change.

VII. DETERMINING AND HANDLING AWARDS

The evaluator will recommend an award of cash or days of leave for eligible employees whose ideas are adopted and implemented by a state agency. DHRM will review and authorize or modify this recommendation.

- A. Cash awards will be made by agencies to eligible employees from dollar savings and/or revenue actually generated by suggestions in the first year of implementation. Evaluators are encouraged to treat measurable time savings in the same way as measurable dollar savings.
 - 1. Agencies are responsible for identifying the source (program) from which savings are realized and for paying cash awards from that program.

NOTE: In the CIPPS centralized payroll system, this payment is classified as a Pay Code 25 – Bonus. Fiscal officers should refer to Topic 50515 in the "Commonwealth Accounting Policies and Procedures (CAPP) Manual" for more detailed information.

2. Agencies that realize savings or revenue must pay cash awards when they become due, and may elect to pay in one of the following ways:
 - a. in a single lump-sum payment after the suggestion has been in effect for twelve (12) months and savings/revenue are generated.
 - b. in lump sum at any time prior to twelve (12) months provided that the total savings value of the suggestion has been realized and documented by the implementing agency.
 - c. in a partial payment during the first year of implementation at the discretion of the implementing agency. The remainder of the cash award will be paid in a lump sum payment when the total 12-month savings are documented.
3. When multiple agencies implement a suggestion and realize the savings or revenues, their results are reported and used in calculating the employee's award. The agency in which the suggester works makes the award but should receive funds by Inter-Agency Transfer (IAT) from other agencies that are receiving the benefit of the suggestion.
4. Calculation of Award as a percentage of Savings/Revenue:

<u>Amount of Net 1st Yr. Savings</u>	<u>Cash Award</u>
\$20,001 or more	\$5,000 + 1% of amount over \$20,000
\$501 to \$20,000	25%
\$101 to \$500	25% or 1 day of leave (at employee option)
\$100 or less	No cash award will be made.

5. The amount of cash award for a suggestion made by a group of employees will be divided equally among eligible employees in the group.
6. If identical suggestions are received by DHRM on the same day, and it is determined that the idea generates savings/revenue, the cash award will be divided equally between the suggesters.

B. Non-Cash Awards

1. Days of Leave – When an adopted suggestion is predicted to have a benefit to the State that is real but cannot be quantified readily or at all, days of paid leave may be awarded to employees (except wage) based on the measure of value in various categories.

- a. Point values are assigned as follows:

Degree of improvement in operations, forms, facilities, or equipment:

None	0 Pts.
Minor	5 Pts.
Moderate	15 Pts.
Major	20 Pts.

Degree of improvement in employee relations, working conditions, safety, service to the public, or public attitude:

None	0 Pts.
Minor	5 Pts.
Moderate	15 Pts.
Major	20 Pts.

Extent of Application:

Single operation/facility/office.....	0 Pts.
Several oper./fac./offices.....	5 Pts.
Majority of the employees/fac./divisions of an agency/university.....	10 Pts.
Majority of the employees/fac./divisions of two or more agencies	15 Pts.
Statewide (most agencies/univ.)	20 Pts.

Completeness of proposal:

Incomplete or unclearly presented (required much clarification).....	0 Pts.
Basic facts sound, needs refining	5 Pts.
Facts clearly presented, little further effort required to implement	10 Pts.
Facts clearly presented, no further effort required to implement	20 Pts.

Effort evidently involved in developing suggestion:

No research involved	0 Pts.
Average substantiation.....	5 Pts.
Considerable personal research	15 Pts.

Cost of adoption:

Large.....	0 Pts.
Moderate.....	5 Pts.
Small.....	10 Pts.

b. Point Values Converted to Days of Leave Awarded

After totaling the point value of a suggestion, points are converted to Days of Leave Awarded and entered into CIPPS as compensatory leave according to the following:

<u>Points</u>	<u>Days of Leave</u>
89-105	5 Days
71-88	4 Days
53-70	3 Days
35-52	2 Days
18-34	1 Day
Less than 18	No Leave

- c. Any leave awarded for a suggestion made by two or more employees will be divided equally among them unless each award would be less than one day of leave. In that case, agencies may recognize employees with non-monetary and non-leave awards through their agency Employee Recognition Program.
- d. If leave is awarded for duplicate suggestions that are received on the same day, days will be divided equally between the suggesters.
- e. ESP leave days are managed in the same way as compensatory leave (see Policy 3.10, Compensatory Leave).
- ESP leave not taken within 12 months of the date of award will be forfeited.
 - active ESP leave balances should be included in employees' leave payments upon their separation from state service.

2. Certificates of Recognition

Certificates signed by the Governor, the Director of DHRM, and the employee's agency head may be presented to suggesters when their ideas are either adopted or considered worthy of recognition.

VIII. APPEAL/REVIEW PROCEDURES

- A. Suggesters may file appeals of non-adopted suggestions in writing to DHRM when they question decisions on eligibility or awards and can verify errors or omissions in the evaluations, and/or can provide other documentation to justify reconsideration of their ideas. Employees should file appeals within 30 days of receiving the notification of non-adoption.
- B. If a suggester believes his/her idea was implemented within one year following the non-adoption notice, the suggester may appeal to have the file re-opened. DHRM will conduct or coordinate a study of the issue and will determine whether or not the suggester should receive any award or other recognition. (NOTE: No award will be due if the idea was under consideration before the suggestion was received. The agency or DHRM should be prepared to document this situation.) Such appeals should be filed in a timely manner after the employee knows, or should reasonably have known, about the situation prompting the appeal.
- C. Three persons from the Human Resource Advisory Council will be selected to serve as a committee to consider appeals. At least one committee member will represent the private sector. Decisions of this body will be final.

IX. RECORD KEEPING

DHRM will maintain a database of ESP information and will produce periodic reports. DHRM will provide data related to their agencies to Agency ESP Coordinators, and may request relevant ESP information from the Coordinators. Non-adopted suggestions will be tracked anonymously.

X. ADDITIONAL POLICIES

- A. Employee Protection
 - 1. Discrimination – Policy No. 1.21 complies with the Governor's Executive Order on Equal Employment Opportunity that prohibits

discrimination based on race, color, religion, sex, age, national origin, disability, or political affiliation in all aspects of personnel management and employment practices.

2. **Employee Status** – An employee's eligibility to receive an award will be established based on his/her employment status at the time the suggestion is received, and will be protected for one year from the date of final disposition of the suggestion.
3. **Former Employees** – Former state employees remain eligible for an award if the State uses the suggestion within one year from the date of final disposition, but cannot receive an award of leave time.
4. **Retain Eligibility** – If a suggestion is not adopted for reasons other than ineligibility, and DHRM has notified the suggester of this result, the suggestion can be re-opened on appeal within 30 days from the date of notification. The suggester may re-submit the suggestion after a two-year period has elapsed following the original submission date.
5. **Taxes** – State and federal tax laws require the withholding of state and federal taxes from cash awards. For further information regarding withholding, agency fiscal officers should refer to Topic 50515 (Special Payments) of the "Commonwealth Accounting Policies and Procedures (CAPP) Manual."

B. State Protection

1. **Claims Against the State** – When a suggestion is submitted to ESP, the suggester agrees that the State shall have the right to make full use of the suggestion. The use of employee suggestions by the State shall not be the basis of further claims of any kind by the suggester or the suggester's heirs or assigns.
2. **Copyrights and Patents** – Patents, copyrights, or materials which are potentially patentable or copyrightable, and are developed by a state employee during working hours or within the scope of employment or when using state-owned or controlled facilities, shall be the property of the Commonwealth of Virginia. (This provision does not apply to employees of state-supported institutions of higher education who are subject to the intellectual property policies of those institutions.)
3. **Federal or Local Funds** – In those instances where federal regulations or local fund restrictions prohibit payment of awards from

savings, cash payments will not be made. However, agencies are encouraged to request their funding sources to cooperate and allow award payments under ESP when merited.

4. Final Decision – The decisions of the Appeals Committee, acting for the Commonwealth, are final and binding.
5. Policy Changes – The State retains the right to change policies at any time. When the policies or systems that affect the management of ESP are changed by the Department of Human Resource Management, DHRM will notify agency officials as appropriate. A suggestion submitted prior to the effective date of a change in policy will be governed by the policy in effect when the suggestion was submitted.
6. Termination Rights – The State retains the right to terminate ESP without notice at any time.



Employee Suggestion Form

Employee Suggestion Program

A program of the Department of Human Resource Management

<i>What is ESP?</i>	The Employee Suggestion Program (ESP) is a program that provides employees with an opportunity to be rewarded for innovative and creative ideas for improving state government.
<i>Who can participate?</i>	All full-time, part-time, or wage/hourly employees of the Commonwealth of Virginia may submit suggestions.
<i>What are the rewards?</i>	Rewards range from cash to days of leave.
<i>How do I submit a suggestion?</i>	Read the Eligibility Requirements and Rules, then complete the Employee Suggestion Form and send it in as directed.
<i>Whom may I contact for questions on the ESP program?</i>	You may contact your Agency ESP Coordinator or the Department of Human Resource Management for questions regarding the program. Information is also available in the ESP Procedures Manual and HR Policy #1.21.

Eligibility Requirements

Suggestions are eligible if they meet the following criteria.

- Propose practical improvements to some part of state government.
- Are submitted in a timely manner.
- States specifically what the improvement is and how it can be made.
- Are submitted by:
 - an individual employee; or
 - a group of employees submitting the suggestion together and using the same form. (The names of all employees submitting the suggestion should be attached to the form.)

Suggestions are not eligible if they:

- are within the employee's authority or responsibility to implement;
- concern matters already under consideration;
- concern personal grievances or complaints; or
- concern policies or procedures that are not being followed or that are not being applied properly.

ESP Information

- Suggestions remain valid for one year from their submission.
- Cash awards normally are paid after one year so that savings can be calculated to determine the award amount. Awards are subject to federal, state, and local taxes that will be withheld according to applicable regulations.
- Decisions made by the Employee Suggestion Program are final. However, if new or additional information is presented, a decision will be reviewed.
- The ESP has the exclusive right to set award policy and structure. The State retains the right to terminate or change the Employee Suggestion Program at any time.
- The use of employee suggestions by the State shall not be the basis of further claims of any kind by the suggester, or the suggesters' heirs or assigns.
- Other requirements and rules are contained in the Employee Suggestion Program Procedures Manual, which is available from your Agency ESP Coordinator and as an attachment to DHRM Policy 1.21 on the DHRM website.

Fields that are marked with an asterisk are required.

*First Name	
Middle Initial	
*Last Name	
Position/Working Title	
*Agency	
Department/SubDivision	
Work or Home Address	
City/State/Zip Code	
*Daytime Telephone	
E-mail Address	
My suggestion will	<input type="checkbox"/> Save money <input type="checkbox"/> Make operations more efficient or effective <input type="checkbox"/> Increase Revenue <input type="checkbox"/> Improve Safety

	Y	N
Is this suggestion within your authority or responsibility to achieve or change?		
Can you make this change without the approval of higher level management?		
As far as you know, is this suggestion already being considered?		
Does this suggestion relate to a personal grievance or complaint?		
Does this suggestion relate to a policy that is not being applied properly?		
Have you submitted this suggestion before, within the past year? If yes, date and suggestion number:		

1. Describe the present situation, condition, method, or procedure to be improved. Please be specific. Attach pages if needed. Indicate number of pages attached. ____

2. What is your suggestion? Be specific – describe the improvement and tell how it can be made. Attach pages if needed. Indicate number of pages attached. ____

3. How will your suggestion improve the present situation or benefit the agency or state? Attach pages if needed. Indicate number of pages attached. ____

4. If money will be saved or generated, provide estimates of savings or revenues. Attach pages if needed. Indicate number of pages attached. ____

Is this suggestion being made by more than one employee? If so, list below.

By submitting this form, I certify that I am employed by the Commonwealth of Virginia. I have read the eligibility requirements and rules as stated on this form and in Policy #1.21, and I agree that the State shall have the right to make full use of my suggestion.

Name:

Date:

Submit this suggestion by sending it to the Employee Suggestion Program, Department of Human Resource Management, 101 N. 14th Street, Richmond, VA 23219, or by e-mailing to ESP@DHRM.state.va.us.



SUGGESTION EVALUATION FORM

EMPLOYEE SUGGESTION PROGRAM USE ONLY. EVALUATING AGENCY ESP COORDINATOR PLEASE COMPLETE PART I:

PART I.

Suggestion #:	Suggestion Topic/Category Code (Table Attached):	Date Received:
Evaluating Agency Code/Title:	Evaluating Unit:	Date Sent to Evaluator:
TO (evaluator):		

INSTRUCTIONS:

1. Please use this form to evaluate the attached suggestion: Type or print clearly in black ink.
2. For assistance, call Agency ESP Coordinator. Name: _____ Phone: _____
3. Complete, date, and return signed form to Agency ESP Coordinator by Date: _____

PART II. REVIEW OF SUGGESTIONS

1. If any of the following apply to this suggestion, indicate which and explain.
 - ☐ A. Relates to a personal grievance or complaint.
 - ☐ B. Involves pay practices.
 - ☐ C. Unclear, incomplete, or not specific.
 - ☐ D. Concerns established procedures not being followed.
 - ☐ E. Concerns result or subject of studies, audits, surveys, etc.

2. To your knowledge, does this suggestion accurately describe the current situation, condition, method, procedure, etc., in Section II of the Employee Suggestion Form?

☐ Yes ☐ No If No, what is the actual current situation?

3. To your knowledge, has this suggestion previously been proposed/considered by agency management?

☐ Yes ☐ No If Yes, what action was taken? (Supporting documentation pre-dating suggestion should be available on request.)

4. If implemented, would this suggestion stimulate other savings/improvement activities?

☐ Yes ☐ No If Yes, describe action stimulated.

Analysis and Recommendation

1. Do you recommend that this suggestion be adopted and implemented?

☐ Yes ☐ No Please explain your recommendation.

2. Please note issues that would need to be considered in order to implement this suggestion.

<p>3. Would the proposed change require legislative action? <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, would you support such action? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p>4. What benefits can be derived from this suggestion? <input type="checkbox"/> Tangible <input type="checkbox"/> Intangible <input type="checkbox"/> None If you believe that benefits would derive from implementing this suggestion, please complete Part III.</p>	
<p>5. What agencies could benefit from implementing this suggestion? <input type="checkbox"/> All <input type="checkbox"/> Categories or names of agencies:</p>	
<p>Signed:</p> <p>_____</p> <p style="text-align: center;">(Signature of Evaluator)</p>	<p>This evaluation complies with the policies of the Employee Suggestion Program, signed:</p> <p>_____</p> <p style="text-align: center;">(Signature of Agency ESP Coordinator)</p>
<p>_____</p> <p style="text-align: center;">(Print Name)</p>	<p>_____</p> <p style="text-align: center;">(Print Name)</p>
<p>_____</p> <p style="text-align: center;">(Date)</p>	<p>_____</p> <p style="text-align: center;">(Date)</p>
<p>I concur with this evaluation of the suggestion.</p> <p>_____</p> <p style="text-align: center;">(Signature of Supervisor/Manager of Evaluator)</p> <p>_____</p> <p style="text-align: center;">(Print Name)</p> <p>_____</p> <p style="text-align: center;">(Date)</p>	Empty space for supervisor/manager signature and date

PART III. CALCULATION OF BENEFITS - RECOMMENDED SUGGESTIONS ONLY

SECTION A – DETERMINATION OF TANGIBLE BENEFITS

Item One

I agree that implementing this suggestion will result in financial earnings or savings.

___ Yes ___ No If No, please explain.

Item Two

I agree with the suggester's estimate of money earned or saved.

___ Yes ___ No If No, please explain.

IF THE SUGGESTION WILL RESULT IN FINANCIAL EARNINGS OR SAVINGS, PLEASE FORWARD THIS FORM TO YOUR AGENCY'S FISCAL OFFICE FOR COMPLETION OF SECTION C.

SECTION B – DETERMINATION OF INTANGIBLE BENEFITS

Complete this Section only if the suggestion is recommended for adoption AND the answer to Item One in Section A is "No." Points total determines the number of days of leave to be awarded.

FACTORS

POINTS AWARDED

1. Degree of improvement in operations, forms, facilities or equipment

None 0 Pts.
 Minor 5 Pts.
 Moderate 15 Pts.
 Major 20 Pts.

_____ Pts.

2. Degree of improvement in employee relations, working conditions, safety, service to the public or public attitude:

None 0 Pts.
 Minor 5 Pts.
 Moderate 15 Pts.
 Major 20 Pts.

_____ Pts.

FACTORS		POINTS AWARDED
3. Extent of application:		
Single operation, facility, office	0 Pts.	
Several operations, facilities, offices	5 Pts.	
A majority of the employees, facilities, divisions of an agency or university	10 Pts.	
A majority of the employees, facilities, divisions of two or more agencies.....	15 Pts.	
Statewide (most agencies, universities)	20 Pts.	_____ Pts.
4. Completeness of proposal:		
Not completely or clearly presented or required considerable clarification	0 Pts.	
Basic facts sound, needed some refining	5 Pts.	
Facts clearly presented, little further effort required to put idea into effect	10 Pts.	
Facts clearly presented, no further effort required to put idea into effect	20 Pts.	_____ Pts.
5. Effort involved:		
No research involved	0 Pts.	
Average substantiation	5 Pts.	
Considerable personal research.....	15 Pts.	_____ Pts.
6. Cost of adoption:		
Large	0 Pts.	
Moderate	5 Pts.	
Small	10 Pts.	_____ Pts.
TOTAL POINTS:		_____ Pts.

SECTION C – COMPUTATION OF DOLLAR SAVINGS (To be completed by Fiscal Officer.)**SUGGESTION SAVINGS DUE TO CHANGES IN:**

____ Labor ____ Supplies ____ Revenue ____ Energy Usage ____ Other (specify)
____ Space ____ Equipment ____ Materials ____ Maintenance Procedure

COMPARISON OF PERIODS (compare two [2] twelve-month periods)

Old Method		Suggested Method	
Starting Date:	Ending Date:	Starting Date:	Ending Date:

To project dollar savings or revenue expected from implementing this suggestion, complete the section below that best represents savings that would realistically result from the suggestion. NOTE: This estimate is for use in evaluating the suggestion. Any award to the suggester will be based on actual first-year results.

COST SAVINGS CALCULATIONS**A. Determine Annual Cost of Old Method:**

Determine units of measure (hours, tons, miles, kilowatts, pieces, items, copies, etc.).

$$\frac{\text{Number of Units Per Year}}{\text{Year}} \times \frac{\text{Cost Per Unit}}{\text{Unit}} + \frac{\text{Other Costs (explain)}}{\text{Year}} = \frac{\text{Annual Cost of Old Method}}{\text{Year}}$$

B. Estimate First-Year Cost of Suggested Method:

Use same units of measure as in old method.

$$\frac{\text{Number of Units Per Year}}{\text{Year}} \times \frac{\text{Cost Per Unit}}{\text{Unit}} + \frac{\text{Other Costs (explain)}}{\text{Year}} = \frac{\text{Projected Annual Cost of Suggested Method}}{\text{Year}}$$

C. Estimate Cost to Implement:

List one-time costs to implement that are not included in B above.

(1) Capital Items	(2) Cost	(3) Years of Life	(4) 2 – 3 = 4 (First-Year Cost)
Total Cost:			

D. Revenue Producing Calculation:

Determine annual revenues of old system for first 12-month period of implementation.

$$\left[\frac{\text{Revenue per Unit – Suggested}}{\text{Unit}} - \frac{\text{Revenue per Unit – Old}}{\text{Unit}} \right] \times \frac{\text{Unit per Year – Suggested Method}}{\text{Year}} = \frac{\text{Increased Revenue}}{\text{Year}}$$

E. First-Year Savings Calculation:

$$\frac{\text{Annual Cost – Old Method}}{\text{Year}} - \left[\frac{\text{Annual Cost – Suggested Method}}{\text{Year}} + \frac{\text{Cost to Implement Minus Revenue}}{\text{Year}} \right] = \frac{\text{Projected Net First-Year Savings}}{\text{Year}}$$

This computation of first-year savings represents reasonable and accurate costs with adherence to State budget policies.

Signed: _____ Date: _____
(Evaluating Agency Fiscal Officer)

PART IV. DHRM'S RECOMMENDATION

This suggestion will be sent to agency(ies) to be implemented. The employee should receive the following award:

___ Tangible Cash (Amount based on actual savings or revenue for first 12 months of implementation, or total savings or revenue if realized in less than 12 months.) _____

___ Intangible Days of Leave* _____

*Based on the following scale:

<u>Points</u>	<u>Day of Leave</u>
89-105	5 Days
71-88	4 Days
53-70	3 Days
35-52	2 Days
18-34	1 Day
Less than 18	None

Comments:

Signed: _____

(DHRM ESP Manager)

Date: _____

ESP CATEGORY CODE TABLE

*CODE	CATEGORY DESCRIPTION
01	ACCOUNTING AND BUDGETING
02	ADMINISTRATIVE PROCESSES
03	BENEFITS
04	BUILDINGS AND GROUNDS
05	BUSINESSS OPERATIONS AND PROCEDURES
06	COMMUNICATIONS, PUBLICATIONS
07	ENERGY, ENVIRONMENT
08	FORMS, AUTOMATED AND PAPER
09	HUMAN RESOURCES
10	INFORMATION TECHNOLOGY
11	LEGAL REQUIREMENTS
12	METHODS AND EFFICIENCY
13	PARKING
14	POLICY
15	PURCHASING AND CONTRACTING
16	REVENUE
17	SAFETY, SECURITY, HAZARD REDUCTION
18	SERVICE OR QUALITY IMPROVEMENT
19	SUPPLIES OR EQUIPMENT
20	TRAVEL REGULATIONS
21	WASTE, RECYCLING
22	WORKPLACE CONDITIONS
23	NO CATEGORY ASSIGNED

***Agency ESP Coordinators: Please categorize suggestion in the most specific suitable category, noting code on Suggestion Evaluation Form.**